

PATENT COOPERATION TREATY

PCT

NOTIFICATION OF THE RECORDING
OF A CHANGE(PCT Rule 92bis.1 and
Administrative Instructions, Section 422)

From the INTERNATIONAL BUREAU

To:

BOWDERY, A., O.
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IP Formalities
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Hampshire GU14 0LX
ROYAUME-UNI

Date of mailing (day/month/year) 25 October 2001 (25.10.01)	IMPORTANT NOTIFICATION
Applicant's or agent's file reference IPD/P2961/WOD	
International application No. PCT/GB00/03620	International filing date (day/month/year) 21 September 2000 (21.09.00)

1. The following indications appeared on record concerning:

☒ the applicant ☐ the inventor ☐ the agent ☐ the common representative

Name and Address

THE SECRETARY OF STATE FOR DEFENCE
Defence Evaluation Research Agency
A4 Building
Ively Road
Farnborough
Hampshire GU14 0LX
United Kingdom

State of Nationality

GB

State of Residence

GB

Telephone No.

Facsimile No.

Teleprinter No.

2. The International Bureau hereby notifies the applicant that the following change has been recorded concerning:

☒ the person ☐ the name ☐ the address ☐ the nationality ☐ the residence

Name and Address

QINETIQ LIMITED
85 Buckingham Gate
London SW1 6TD
United Kingdom

State of Nationality

GB

State of Residence

GB

Telephone No.

Facsimile No.

Teleprinter No.

3. Further observations, if necessary:

The agent's address has been changed accordingly.

4. A copy of this notification has been sent to:

<input checked="" type="checkbox"/> the receiving Office	<input type="checkbox"/> the designated Offices concerned
<input type="checkbox"/> the International Searching Authority	<input checked="" type="checkbox"/> the elected Offices concerned
<input checked="" type="checkbox"/> the International Preliminary Examining Authority	<input type="checkbox"/> other:

The International Bureau of WIPO
34, chemin des Colombettes
1211 Geneva 20, Switzerland

Authorized officer

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REC'D 21 DEC 2001

WIPO

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INTERNATIONAL PRELIMINARY EXAMINATION REPORT

(PCT Article 36 and Rule 70)

Applicant's or agent's file reference IPD/P2961/WOD	FOR FURTHER ACTION See Notification of Transmittal of International Preliminary Examination Report (Form PCT/IPEA/416)	
International application No. PCT/GB00/03620	International filing date (day/month/year) 21/09/2000	Priority date (day/month/year) 04/10/1999
International Patent Classification (IPC) or national classification and IPC G06F1/00		
Applicant [DEFENSE EVALUATION RESEARCH AGENCY] QINETIQ LIMITED		

1. This international preliminary examination report has been prepared by this International Preliminary Examining Authority and is transmitted to the applicant according to Article 36.



2. This REPORT consists of a total of 6 sheets, including this cover sheet.

- ☐ This report is also accompanied by ANNEXES, i.e. sheets of the description, claims and/or drawings which have been amended and are the basis for this report and/or sheets containing rectifications made before this Authority (see Rule 70.16 and Section 607 of the Administrative Instructions under the PCT).

These annexes consist of a total of sheets.

3. This report contains indications relating to the following items:

- I ☒ Basis of the report
- II ☐ Priority
- III ☐ Non-establishment of opinion with regard to novelty, inventive step and industrial applicability
- IV ☐ Lack of unity of invention
- V ☒ Reasoned statement under Article 35(2) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement
- VI ☐ Certain documents cited
- VII ☒ Certain defects in the international application
- VIII ☐ Certain observations on the international application

Date of submission of the demand 14/04/2001	Date of completion of this report 19.12.2001
Name and mailing address of the international preliminary examining authority:  European Patent Office D-80298 Munich Tel. +49 89 2399 - 0 Tx: 523656 epmu d Fax: +49 89 2399 - 4465	Authorized officer San-Bento Furtado, P Telephone No. +49 89 2399 2140 

INTERNATIONAL PRELIMINARY EXAMINATION REPORT

International application No. PCT/GB00/03620

I. Basis of the report

1. With regard to the **elements** of the international application (*Replacement sheets which have been furnished to the receiving Office in response to an invitation under Article 14 are referred to in this report as "originally filed" and are not annexed to this report since they do not contain amendments (Rules 70.16 and 70.17)*):

Description, pages:

1-27 as originally filed

Claims, No.:

1-37 as originally filed

Drawings, sheets:

1/7-7/7 as originally filed

2. With regard to the **language**, all the elements marked above were available or furnished to this Authority in the language in which the international application was filed, unless otherwise indicated under this item.

These elements were available or furnished to this Authority in the following language: , which is:

- ☐ the language of a translation furnished for the purposes of the international search (under Rule 23.1(b)).
- ☐ the language of publication of the international application (under Rule 48.3(b)).
- ☐ the language of a translation furnished for the purposes of international preliminary examination (under Rule 55.2 and/or 55.3).

3. With regard to any **nucleotide and/or amino acid sequence** disclosed in the international application, the international preliminary examination was carried out on the basis of the sequence listing:

- ☐ contained in the international application in written form.
- ☐ filed together with the international application in computer readable form.
- ☐ furnished subsequently to this Authority in written form.
- ☐ furnished subsequently to this Authority in computer readable form.
- ☐ The statement that the subsequently furnished written sequence listing does not go beyond the disclosure in the international application as filed has been furnished.
- ☐ The statement that the information recorded in computer readable form is identical to the written sequence listing has been furnished.

4. The amendments have resulted in the cancellation of:

- ☐ the description, pages:
- ☐ the claims, Nos.:

INTERNATIONAL PRELIMINARY EXAMINATION REPORT

International application No. PCT/GB00/03620

☐ the drawings, sheets:

5. ☐ This report has been established as if (some of) the amendments had not been made, since they have been considered to go beyond the disclosure as filed (Rule 70.2(c)):

(Any replacement sheet containing such amendments must be referred to under item 1 and annexed to this report.)

6. Additional observations, if necessary:

V. Reasoned statement under Article 35(2) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement

1. Statement

Novelty (N)	Yes:	Claims	
	No:	Claims	1,3,5,10,17,19,21,23,28,31,32,34,35,37
Inventive step (IS)	Yes:	Claims	8,9,26,27
	No:	Claims	2,4,6,7,11-16,18,20,22,24,25,29,30,33,36
Industrial applicability (IA)	Yes:	Claims	1-37
	No:	Claims	

2. Citations and explanations
see separate sheet

VII. Certain defects in the international application

The following defects in the form or contents of the international application have been noted:
see separate sheet

Re Item V

Reasoned statement under Rule 66.2(a)(ii) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement

1. Reference is made to the following documents:
D1: WO 96 17286 A (BIGGE PETER ;TELIA AB (SE)) 6 June 1996;
D2: DAVIS J ET AL: 'AN IMPLEMENTATION OF MLS ON NETWORK OF WORKSTATIONS USING X500/509' PHOENIX/TEMPE, NEW YORK, IEEE, US, 5 February 1997, pages 546-553, XP000753724 ISBN: 0-7803-3874-X;
D3: EP-A-0 407 060 (AMERICAN TELEPHONE & TELEGRAPH) 9 January 1991;
D4: WO 98 25373 (INTELLECTUAL PROTOCOLS, L.L.C.) 11 June 1998.
2. The present application does not meet the requirements of Article 33(2) PCT, because the subject-matter of independent claims 1, 19, 32 and 35 and that of dependent claims 3, 5, 10, 17, 21, 23, 28, 31, 34, and 37 is not new, the reasons being as follows:
 - 2.1. Document D1 discloses (the references in parentheses applying to this document)
 - a method for computer security to control access to data held on a computer system as requestable datasets (abstract),
including all the features of the method of claim 1:
 - (i) allocating computer system users between a plurality of user groups, each user group corresponding to a respective data access category selected from a plurality of such categories (page 5, lines 5-6; page 11, lines 20-21);
 - (ii) associating each dataset with a dataset access category (page 11, lines 1-2); and
 - (iii) giving access to each dataset only to user group members associated with an appropriate data access category for that dataset (page 11, lines 4-7, page 13, lines 18-21).

D1 even discloses different types of user groups and the respective advantages of each type: "fixed groups of users" disclosed e.g. in page 3, lines 4-8, and those more flexible client groups established by "roles" referred to throughout the document, e.g. in page 3, lines 12-14.

The subject-matter of independent claim 1 is therefore not novel (Article 33(2) PCT).

2.2. The same applies to independent claims 19, 32 and 35, since they define corresponding subject-matter to that of method claim 1 in the categories computer program, network access controller and computer network for database access, respectively (D1 also discloses the control of access to a database, see abstract).

2.3. D1 also discloses

- (i) computer-based identifying means (page 8, lines 17-23, figure 1),
- (ii) gaining access to the computer network via the Internet (figure 4).

Furthermore, in D1 data is sent in unencrypted form and database access is allowed to any user, independently of whether he has a certificate or not.

Therefore, the subject-matter of dependent claims 3, 5, 10, 17, 21, 23, 28, 31, 34, and 37 cannot be considered to be new (Article 33(2) PCT).

3. The present application does not meet the requirements of Article 33(3) PCT, in that the subject-matter of dependent claims 2, 4, 6, 7, 11-16, 18, 20, 22, 24, 25, 29, 30, 33 and 36 does not involve an inventive step, as explained in the following:

3.1. In dependent claims 2, 11, 13, 14, 18, 20, 30 and 33 slight constructional changes in the method, computer program, and network access controller of previous claims are defined which come within the scope of the customary practice followed by persons skilled in the art, especially as the advantages thus achieved can readily be foreseen. Furthermore, the features in those claims are either directly described in D1 or would be assumed by a skilled person when reading D1. Consequently, the subject-matter of claims 2, 11, 13, 14, 18, 20, 30 and 33 lacks an inventive step (Article 33(3) PCT).

3.2. The features of dependent claims 4, 6, 7, 12, 15 and 16 have already been employed for the same purpose in similar methods:

- D2 describes X.509 certificates and challenge-response authentication as in claims 4 and 7 (D2: abstract and page 550, left column);
- D3 discloses the use of sections in labels describing data access categories as claimed in claims 15 and 16 (D3: figures 5 and 6);
- the use of HTML meta tags and firewalls (claims 6, 12) for supporting security in systems connected to the Internet comes within the scope of the customary practice followed by persons skilled in the art, especially as the advantages thus achieved can readily be foreseen (D4: pages 17-25).

It would therefore be obvious to the person skilled in the art, to apply these features with corresponding effect to a method according to document D1,

thereby arriving at a method according to those claims. Therefore, the subject-matter of dependent method claims 4, 6, 7 or 12, as well as that of equivalent claims 22, 24, 25, 29, and 36 in other categories, does not involve an inventive step (Article 33(3) PCT).

4. The combination of features of each one of the dependent claims 8, 9, 26 or 27 is neither known from, nor rendered obvious by, the available prior art.

Re Item VII

Certain defects in the international application

5. The following defects were also identified in the application:
 - 5.1. The features of the claims are not provided with reference signs placed in parentheses (Rule 6.2(b) PCT).
 - 5.2. In order to meet the requirements of Rule 5.1(a)(ii) PCT, document D1, and preferably also D2-D4, and the relevant background art disclosed therein should be identified in the description (PCT Guidelines, III-2.3a).
 - 5.3. The independent claims are not in the two-part form in accordance with Rule 6.3(b) PCT. The applicant has not provided reasons why the claim should not be in the two-part form either.

TRAITE DE COOPERATION EN MATIERE DE BREVETS

PCT

RAPPORT DE RECHERCHE INTERNATIONALE

(article 18 et règles 43 et 44 du PCT)

Référence du dossier du déposant ou du mandataire IPD/P2961/WOD	POUR SUITE voir la notification de transmission du rapport de recherche internationale (formulaire PCT/ISA/220) et, le cas échéant, le point 5 ci-après A DONNER	
Demande internationale n° PCT/GB 00/03620	Date du dépôt international(jour/mois/année) 21/09/2000	(Date de priorité (la plus ancienne) (jour/mois/année) 04/10/1999
Déposant DEFENSE EVALUATION RESEARCH AGENCY		

Le présent rapport de recherche internationale, établi par l'administration chargée de la recherche internationale, est transmis au déposant conformément à l'article 18. Une copie en est transmise au Bureau international.

Ce rapport de recherche internationale comprend 3 feuilles.



Il est aussi accompagné d'une copie de chaque document relatif à l'état de la technique qui y est cité.

1. Base du rapport

- a. En ce qui concerne la **langue**, la recherche internationale a été effectuée sur la base de la demande internationale dans la langue dans laquelle elle a été déposée, sauf indication contraire donnée sous le même point.



la recherche internationale a été effectuée sur la base d'une traduction de la demande internationale remise à l'administration.

- b. En ce qui concerne les **séquences de nucléotides ou d'acides aminés** divulguées dans la demande internationale (le cas échéant), la recherche internationale a été effectuée sur la base du listage des séquences :



contenu dans la demande internationale, sous forme écrite.



déposée avec la demande internationale, sous forme déchiffrable par ordinateur.



remis ultérieurement à l'administration, sous forme écrite.



remis ultérieurement à l'administration, sous forme déchiffrable par ordinateur.



La déclaration, selon laquelle le listage des séquences présenté par écrit et fourni ultérieurement ne vas pas au-delà de la divulgation faite dans la demande telle que déposée, a été fournie.



La déclaration, selon laquelle les informations enregistrées sous forme déchiffrable par ordinateur sont identiques à celles du listage des séquences présenté par écrit, a été fournie.

2. ☐ **Il a été estimé que certaines revendications ne pouvaient pas faire l'objet d'une recherche** (voir le cadre I).

3. ☐ **Il y a absence d'unité de l'invention** (voir le cadre II).

4. En ce qui concerne le **titre**,



le texte est approuvé tel qu'il a été remis par le déposant.



Le texte a été établi par l'administration et a la teneur suivante:

5. En ce qui concerne l'**abrégé**,



le texte est approuvé tel qu'il a été remis par le déposant



le texte (reproduit dans le cadre III) a été établi par l'administration conformément à la règle 38.2b). Le déposant peut présenter des observations à l'administration dans un délai d'un mois à compter de la date d'expédition du présent rapport de recherche internationale.

6. La figure **des dessins** à publier avec l'abrégé est la Figure n°



suggérée par le déposant.



parce que le déposant n'a pas suggéré de figure.



parce que cette figure caractérise mieux l'invention.

6



Aucune des figures n'est à publier.

INTERNATIONAL SEARCH REPORT

International Application No

PC 00/03620

A. CLASSIFICATION OF SUBJECT MATTER
IPC 7 G06F1/00 G06F12/14

According to International Patent Classification (IPC) or to both national classification and IPC

B. FIELDS SEARCHED

Minimum documentation searched (classification system followed by classification symbols)
IPC 7 G06F H04L

Documentation searched other than minimum documentation to the extent that such documents are included in the fields searched

Electronic data base consulted during the international search (name of data base and, where practical, search terms used)

EPO-Internal, WPI Data, PAJ

C. DOCUMENTS CONSIDERED TO BE RELEVANT

Category *	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
X	<p>WO 96 17286 A (BIGGE PETER ; TELIA AB (SE)) 6 June 1996 (1996-06-06)</p> <p>abstract; figures 1,2,4 page 1, line 22 -page 3, line 27 page 4, line 1 - line 24 page 5, line 27 -page 6, line 19 page 8, line 16 -page 9, line 35</p>	<p>1,3,5-7, 10,17, 19,21, 23-25, 28,31</p>
Y	<p>---</p> <p>-/--</p>	<p>2,4, 11-16, 20,22, 29,30, 32-37</p>

☒ Further documents are listed in the continuation of box C.

☒ Patent family members are listed in annex.

* Special categories of cited documents :

- *A* document defining the general state of the art which is not considered to be of particular relevance
- *E* earlier document but published on or after the international filing date
- *L* document which may throw doubts on priority claim(s) or which is cited to establish the publication date of another citation or other special reason (as specified)
- *O* document referring to an oral disclosure, use, exhibition or other means
- *P* document published prior to the international filing date but later than the priority date claimed

- *T* later document published after the international filing date or priority date and not in conflict with the application but cited to understand the principle or theory underlying the invention
- *X* document of particular relevance; the claimed invention cannot be considered novel or cannot be considered to involve an inventive step when the document is taken alone
- *Y* document of particular relevance; the claimed invention cannot be considered to involve an inventive step when the document is combined with one or more other such documents, such combination being obvious to a person skilled in the art.
- *G* document member of the same patent family

Date of the actual completion of the international search

21 December 2000

Date of mailing of the international search report

03/01/2001

Name and mailing address of the ISA

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Authorized officer

Powell, D

INTERNATIONAL SEARCH REPORT

International Application No

PC 00/03620

C.(Continuation) DOCUMENTS CONSIDERED TO BE RELEVANT

Category *	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
X	✓ EP 0 407 060 A (AMERICAN TELEPHONE & TELEGRAPH) 9 January 1991 (1991-01-09) the whole document	1, 19
Y		2, 14-16, 20, 30
Y	✓ DAVIS J ET AL: "AN IMPLEMENTATION OF MLS ON NETWORK OF WORKSTATIONS USING X500/509" PHOENIX/TEMPE, FEB. 5 - 7, 1997, NEW YORK, IEEE, US, 5 February 1997 (1997-02-05), pages 546-553, XP000753724 ISBN: 0-7803-3874-X the whole document	4, 11-13, 22, 29, 30, 32-37
A		1, 8, 10, 17-19, 26, 28, 31
A	✓ US 5 940 591 A (BOYLE JOHN M ET AL) 17 August 1999 (1999-08-17) the whole document	32-34

INTERNATIONAL SEARCH REPORT

Information on patent family members

International Application No

PC 00/03620

Patent document cited in search report	Publication date	Patent family member(s)	Publication date
WO 9617286 A	06-06-1996	EP 0795151 A SE 9404157 A	17-09-1997 30-05-1996
EP 0407060 A	09-01-1991	CA 2018319 A,C DE 69029880 D DE 69029880 T JP 3041535 A	31-12-1990 20-03-1997 21-08-1997 22-02-1991
US 5940591 A	17-08-1999	US 5577209 A	19-11-1996